

2161
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/885,865

Filed: June 19, 2001

Inventor(s):

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Title: METHODS AND
SYSTEMS FOR
RECONCILING A
FORWARD
CONVERSION
SECURITIES STRATEGY

Examiner: Unknown

Group/Art Unit: 2161

Atty. Dkt. No: 5226-01700

CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8 DATE OF DEPOSIT: 11-22-02 I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail on the date indicated above and is addressed to: Commissioner for Patents Washington, DC 20231 <i>Jackie L. Pittre</i> Jackie L. Pittre

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
Washington, D.C. 20231

Sir:

It is respectfully requested that this Information Disclosure Statement be entered and the documents listed on attached Form PTO-1449 (references D1-D4) be considered by the Examiner and made of record. Copies of the listed documents are enclosed for the convenience of the Examiner.

Should any fees be required, the Commissioner is authorized to charge said fees to Conley, Rose & Tayon, P.C. Deposit Account No. 50-1505/5226-01700/EBM.

Respectfully submitted,

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Form PTO-1449 (modified)

List of Patents and Publications
For Applicant's Information
Disclosure Statement
(Use several sheets if necessary)

ATTY. DOCKET NO: 5226-01700

SERIAL NO: 09/885,865

APPLICANT: Shayne Young

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U.S. PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	D1	6,317,728 B1	11/13/01	Kane			
	D2	5,819,238	10/06/98	Fernholz			
	D3	5,640,505	06/17/97	Hearn et al.			

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FOREIGN PATENT DOCUMENTS

EXAM. INITIALS	REF. DES	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES/NO

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	D4	International Search Report, PCT/US02/16267, mailed August 20, 2002.					

EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the patent owner.